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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/710,999	11/09/2000	Tetsunosuke Fujisaki	YO999-527	5835

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EXAMINER

SUBRAMANIAN, NARAYANSWAMY

ART UNIT	PAPER NUMBER
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3624

DATE MAILED: 04/07/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/710,999

Applicant(s)

FUJISAKI, TETSUNOSUKE

Examiner

Narayanswamy Subramanian

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 1 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 09 November 2000.
- 2a) ☐ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-35 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☐ Claim(s) _____ is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☒ Claim(s) 1-35 are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date <u>5</u> . | 6) <input type="checkbox"/> Other: _____ |

Election/Restrictions

1. Restriction to one of the following inventions is required under 35 U.S.C. 121:
 - I. Claims 1-5, 17-21 and 32, drawn to a method, a system and an article of manufacture respectively for processing transactions involving financial securities, said method comprising the steps of: establishing a plurality of market segments, each of said market segments having at least one market participant; receiving a bid for one or more financial securities, said bid including one or more authorized market segments; and posting said bid only to said one or more authorized market segments, classified in class 705, subclass 37.
 - II. Claims 6-8, 22-24 and 33, drawn to a method, a system and an article of manufacture respectively for submitting a bid for a financial security in a network environment having a plurality of market segments, each of said market segments having at least one market participant, wherein a bid posted to one or more authorized market segments posts said bid only to market participants in said one or more authorized market segments, said method comprising the steps of: specifying one or more parameters of said bid, including a price; specifying one or more authorized market segments for said bid; and sending said bid to a centralized bid server for posting only to market participants in said one or more authorized market segments, classified in class 705, subclass 37.
 - III. Claims 9-13, 25-28 and 34, drawn to a method, a system and an article of manufacture respectively for processing transactions involving financial securities, said method comprising the steps of: receiving a bid for one or more financial securities, said bid specifying a plurality of parameters; comparing said bid to other pending bids to identify pending bids that are in

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proximity to said submitted bid; and establishing a communication channel between entities associated with said bids that are in proximity, classified in class 705, subclass 37.

IV. Claims 14-16, 29-31 and 35, drawn to a method, a system and an article of manufacture respectively for submitting a bid for a financial security in a network environment, said method comprising the steps of: specifying one or more parameters of said bid, including a price; submitting said bid to a centralized bid server for processing; receiving a response from said centralized bid server identifying pending bids having parameters that are within a given threshold to said submitted bid; and selecting at least one of said pending bids and receiving a communication channel for negotiation with an entity associated with said selected pending bid, classified in class 705, subclass 37.

The inventions are distinct, each from the other because of the following reasons:

2. Inventions I and II are related as sub combinations disclosed as usable together in a single combination. The sub combinations are distinct from each other if they are shown to be separately usable. In the instant case, invention I relates to a method, a system and an article of manufacture respectively for processing transactions involving financial securities, said method comprising the steps of: establishing a plurality of market segments, each of said market segments having at least one market participant; receiving a bid for one or more financial securities, said bid including one or more authorized market segments; and posting said bid only to said one or more authorized market segments, whereas invention II relates to a method, a system and an article of manufacture respectively for submitting a bid for a financial security in a network environment having a plurality of market segments, each of said market segments having at least one market participant, wherein a bid posted to one or more authorized market

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segments posts said bid only to market participants in said one or more authorized market segments, said method comprising the steps of: specifying one or more parameters of said bid, including a price; specifying one or more authorized market segments for said bid; and sending said bid to a centralized bid server for posting only to market participants in said one or more authorized market segments. See MPEP § 806.05(d). Because these inventions are distinct for the reasons given above and the search required for Group I is not required for Group II, restriction for examination purposes as indicated is proper even though they are both classified in the same class and subclass.

Inventions I and III are related as sub combinations disclosed as usable together in a single combination. The sub combinations are distinct from each other if they are shown to be separately usable. In the instant case, invention I relates to a method, a system and an article of manufacture respectively for processing transactions involving financial securities, said method comprising the steps of: establishing a plurality of market segments, each of said market segments having at least one market participant; receiving a bid for one or more financial securities, said bid including one or more authorized market segments; and posting said bid only to said one or more authorized market segments, whereas invention III relates to a method, a system and an article of manufacture respectively for processing transactions involving financial securities, said method comprising the steps of: receiving a bid for one or more financial securities, said bid specifying a plurality of parameters; comparing said bid to other pending bids to identify pending bids that are in proximity to said submitted bid; and establishing a communication channel between entities associated with said bids that are in proximity. See MPEP § 806.05(d). Because these inventions are distinct for the reasons given above and the

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search required for Group I is not required for Group III, restriction for examination purposes as indicated is proper even though they are both classified in the same class and subclass.

Inventions I and IV are related as sub combinations disclosed as usable together in a single combination. The sub combinations are distinct from each other if they are shown to be separately usable. In the instant case, invention I relates to a method, a system and an article of manufacture respectively for processing transactions involving financial securities, said method comprising the steps of: establishing a plurality of market segments, each of said market segments having at least one market participant; receiving a bid for one or more financial securities, said bid including one or more authorized market segments; and posting said bid only to said one or more authorized market segments, whereas invention IV relates to a method, a system and an article of manufacture respectively for submitting a bid for a financial security in a network environment, said method comprising the steps of: specifying one or more parameters of said bid, including a price; submitting said bid to a centralized bid server for processing; receiving a response from said centralized bid server identifying pending bids having parameters that are within a given threshold to said submitted bid; and selecting at least one of said pending bids and receiving a communication channel for negotiation with an entity associated with said selected pending bid. See MPEP § 806.05(d). Because these inventions are distinct for the reasons given above and the search required for Group I is not required for Group IV, restriction for examination purposes as indicated is proper even though they are both classified in the same class and subclass.

Similarly other pairing of inventions stated above are related as sub combinations disclosed as usable together in a single combination. These inventions are distinct from each

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other as can be evident from the definition of the groups described above. Also they require separate searches and hence restriction of these inventions for examination purposes as indicated is proper.

3. An attempt to reach Mr. Kevin M. Mason by telephone on April 2, 2004 to request an oral election to the above restriction requirement was unsuccessful.

4. Applicants are advised that reply to this requirement to be complete must include an election of the invention to be examined even though the requirement be traversed (37 CFR 1.143).

5. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Dr. Narayanswamy Subramanian whose telephone number is (703) 305-4878. The examiner can normally be reached Monday-Thursday from 8:30 AM to 7:00 PM. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Vincent Millin can be reached at (703) 308-1065. The fax number for Formal or Official faxes and Draft or Informal faxes to the Patent Office is (703) 872-9306. Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist whose telephone number is (703) 308-1113.

N. Subramanian
April 2, 2004

Richard Weisberger
Primary Examiner

RICHARD WEISBERGER
DR. WEISBERGER